

# BS&R Y2K Servicer & Software Vendor Assessment Report

[Institution Category]

[Date and Time of Report]

Institution Name <b>[Institution Name]</b> City, State <b>[City Name, State]</b> Parent Country <b>[Country]</b>	District <b>[FRB-Name]</b> Entity Type <b>[Entity Type]</b> Assets (\$ millions) <b>[NA]</b>
Institution Contact, Title <input type="text"/>	Reserve Bank Contact <input type="text"/>
Phone <input type="text"/>	Phone <input type="text"/>
Fax <input type="text"/>	Fax <input type="text"/>

**Overall Rating:**  [last reported]

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☒ Green ☐ Yellow ☐ Red

Comments:

## I. Status of Operations (check one of the following)

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- ☐ Service or software product/application provided to financial institutions operating normally
- ☐ Operating, but some partial or intermittent disruptions to one or more service or application where customer institutions would be impacted
- ☐ Operating, but significant disruptions to one or more service or application
- ☐ Service or software product/application failed to operate properly

Comments:

## II. Source of Disruption (check all that apply)

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- ☐ Internal to the service provider or software vendor only
- ☐ Internal to the service provider or software vendor with effects on the clients
- ☐ Specific Customers
- ☐ Specific Hardware (list hardware in comments section)
- ☐ Specific Software (list software/third-party vendors in comments section)

- ☐ Infrastructure
- ☐ Other (describe in comments section)

Comments:

### III. Services/Applications Disrupted (check all that apply)

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☐ **Loan Accounting System**

Geographic Impact: ☐ Organization wide ☐ Regional ☐ Isolated

☐ **Deposits**

Geographic Impact: ☐ Organization wide ☐ Regional ☐ Isolated

☐ **Check Processing**

Geographic Impact: ☐ Organization wide ☐ Regional ☐ Isolated

☐ **ATM Network/POS**

Geographic Impact: ☐ Organization wide ☐ Regional ☐ Isolated

☐ **ACH**

Geographic Impact: ☐ Organization wide ☐ Regional ☐ Isolated

☐ **Credit Card Processing**

Geographic Impact: ☐ Organization wide ☐ Regional ☐ Isolated

☐ **Trading System (Investments)**

Geographic Impact: ☐ Organization wide ☐ Regional ☐ Isolated

☐ **Customer Information File**

Geographic Impact: ☐ Organization wide ☐ Regional ☐ Isolated

☐ **Trust System**

Geographic Impact: ☐ Organization wide ☐ Regional ☐ Isolated

☐ **General Ledger**

Geographic Impact: ☐ Organization wide ☐ Regional ☐ Isolated

☐ **Other (describe in comments section)**

Geographic Impact: ☐ Organization wide ☐ Regional ☐ Isolated

Comments:

### IV. Contingency Plan

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Have any contingency plans been activated?

☐ Yes ☐ No ☐ Uncertain

If yes, have the contingency plans been successful?

☐ Yes ☐ No ☐ Uncertain

Discuss the impact of activated contingency plans on the client institutions:

## V. Client Communication

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Has the Service Provider/Software Vendor communicated known problems with clients? If yes, describe in the comments section the type of client communication being maintained.

☐ Yes ☐ No ☐ NA

Is the customer service support adequate, including staffing levels and accessibility over the rollover weekend? If no, explain in the comments section.

☐ Yes ☐ No ☐ Uncertain

Comments: